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TRANSMIT THE ATTACHED TO

Date: August 6, 2003

Name: Examiner Ella Colbert
Company: US Patent and Trademark Office
Fax: 703.746.5622
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GROUP 3600**FAX COVER SHEET INFORMATION**

From: R. Thomas Payne Client No.: 854737.0005
Phone: 203.351.4192 Infortext: 5190
Email: tpayne@cl-law.com Pages including cover sheet: 26
Personal Fax: 203.708.4535 Confirming No.: 203.351.4372
3943

COMMENTS

Examiner Colbert:

Thanks for returning my phone call. As suggested, the material that was filed with U.S. Patent and Trademark Office will respect to this application follows. If after reviewing this material, should you have questions, please call.

Very truly yours,

R. Thomas Payne
Registration Number 30, 674

.StmLib1:1025377.1 08/06/03

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AMENDMENT TRANSMITTAL LETTER (Small Entity)

Applicant(s): Brian C. TARBOX et al.

Docket No.

854737.0005 (TARB-101.1)

Serial No.
10/073,632Filing Date
February 11, 2002

Examiner

Group Art Unit
2164

Invention: SYSTEMS AND METHODS FOR IMPROVING INVESTMENT PERFORMANCE

TO THE ASSISTANT COMMISSIONER FOR PATENTS:

Transmitted herewith is an amendment in the above-identified application.

Small Entity status of this application has been established under 37 CFR 1.27 by a verified statement previously submitted.

A verified statement to establish Small Entity status under 37 CFR 1.27 is enclosed.

The fee has been calculated and is transmitted as shown below.

CLAIMS AS AMENDED

	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST # PREV. PAID FOR	NUMBER EXTRA CLAIMS PRESENT	RATE	ADDITIONAL FEE
TOTAL CLAIMS	62 -	20 =	42	x \$9.00	\$378.00
INDEP. CLAIMS	11 -	5 =	6	x \$42.00	\$252.00
Multiple Dependent Claims (check if applicable) <input type="checkbox"/>					\$0.00
TOTAL ADDITIONAL FEE FOR THIS AMENDMENT					\$630.00

No additional fee is required for amendment.

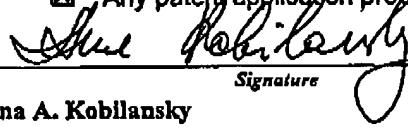
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A check in the amount of \$630.00 to cover the filing fee is enclosed.

The Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 11-0231
A duplicate copy of this sheet is enclosed.

Any additional filing fees required under 37 C.F.R. 1.16.

Any patent application processing fees under 37 CFR 1.17.



Signature

Dated: July 15, 2003

Anna A. Kobilansky

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cc:

CUMMINGS & LOCKWOOD LLC
EXPENSE/DISBURSEMENT ACCOUNT

138372

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STAMFORD, CONNECTICUT 06901
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DATE 07/14/2003

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2 MANUAL SIG'S REQ. CHECKS OVER \$10,000.00
1 MANUAL SIG. OVER \$1000.00

Additional Claims fee

S/N 10/073 632

Docket: 854737-0005 (TAR 101-1)

1383720190057100003 05184

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854737.0005 (TARB-101.1)

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:)
Brian C. Tarbox et al.) Examiner:
Serial No.: 10/073,632) Group Art Unit: 2164
Filed: February 11, 2002) Confirmation No.: 6664
For: SYSTEMS AND METHODS FOR)
IMPROVING INVESTMENT)
PERFORMANCE)

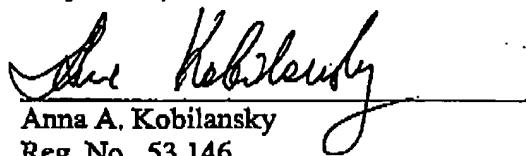
Commissioner for Patents
P. O. Box 1450
Alexandria, VA 22313-1450

SMALL ENTITY ASSERTION

Sir:

SMALL ENTITY STATEMENT. Applicant claims Small Entity Status. See 37 CFR 1.27.

Respectfully submitted,


Anna A. Kobilansky
Reg. No. 53,146Date: July 15, 2003

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